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UNITED STATES PATENT AND TRADEMARK OFFICE  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/898,319	07/02/2001	G. Scott Smith	020699-000310US

20350  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER  
EIGHTH FLOOR  
SAN FRANCISCO, CA 94111-3834

CONFIRMATION NO. 4767  
FORMALITIES LETTER

  
\*OC00000006451209\*

Date Mailed: 08/21/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The signature of the following inventor(s) is missing from the oath or declaration:  
*Jose Diaz*
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- o The balance due by applicant is \$ 130.

*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

02/05/2002 MAR011 00000006 201430 09898319

01 FC:105 130.00 CH

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ 660

Complete If Known	
Application Number	09/898,319
Filing Date	July 2, 2001
First Named Inventor	Smith, G. Scott
Examiner Name	
Group Art Unit	2131
Attorney Docket No.	020699-000310US

METHOD OF PAYMENT				FEE CALCULATION (continued)																																																																																																																																					
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number <b>20-1430</b></p> <p>Deposit Account Name <b>Townsend and Townsend and Crew LLP</b></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>				<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>Surcharge - late filing fee or oath</td><td>130</td></tr> <tr><td>127</td><td>50</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>Extension for reply within second month</td><td>400</td></tr> <tr><td>117</td><td>920</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>280</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>Petition to revive – unavoidable</td><td></td></tr> <tr><td>141</td><td>1,280</td><td>Petition to revive – unintentional</td><td></td></tr> <tr><td>142</td><td>1,280</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>460</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>620</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td>130</td></tr> <tr><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>740</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>740</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>179</td><td>740</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>Request for expedited examination or a design application</td><td></td></tr> <tr><td colspan="4">Other fee (specify)</td></tr> <tr> <td colspan="4">The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.</td> </tr> <tr> <td colspan="4">*Reduced by Basic Filing Fee Paid</td> <td colspan="2">SUBTOTAL (3) (\$660)</td> </tr> </tbody> </table>				Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105	130	Surcharge - late filing fee or oath	130	127	50	Surcharge - late provisional filing fee or cover sheet.		139	130	Non-English specification		147	2,520	For filing a request for reexamination		112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	Requesting publication of SIR after Examiner action		115	110	Extension for reply within first month		116	400	Extension for reply within second month	400	117	920	Extension for reply within third month		118	1,440	Extension for reply within fourth month		128	1,960	Extension for reply within fifth month		119	320	Notice of Appeal		120	320	Filing a brief in support of an appeal		121	280	Request for oral hearing		138	1,510	Petition to institute a public use proceeding		140	110	Petition to revive – unavoidable		141	1,280	Petition to revive – unintentional		142	1,280	Utility issue fee (or reissue)		143	460	Design issue fee		144	620	Plant issue fee		122	130	Petitions to the Commissioner	130	123	50	Petitions related to provisional applications		126	180	Submission of Information Disclosure Stmt		581	40	Recording each patent assignment per property (times number of properties)		146	740	Filing a submission after final rejection (37 CFR § 1.129(a))		149	740	For each additional invention to be examined (37 CFR § 1.129(b))		179	740	Request for Continued Examination (RCE)		169	900	Request for expedited examination or a design application		Other fee (specify)				The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.				*Reduced by Basic Filing Fee Paid				SUBTOTAL (3) (\$660)	
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\*\*or number previously paid, if greater; For Reissues, see above

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The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.

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SUBTOTAL (3) (\$660)

SUBMITTED BY						Complete (if applicable)	
Name (Print/Type)	Fidel O. Nwamu	Registration No. (Attorney/Agent)	46,294	Telephone	415-578-0200		
Signature					Date	December 21, 2001	

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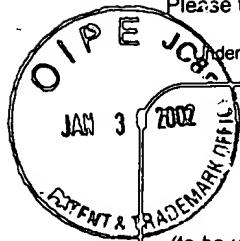
Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. SF 1303471 v1

Please type a plus sign (+) inside this box → 

Approved for use through 10/31/2002. OMB 0651-0031

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

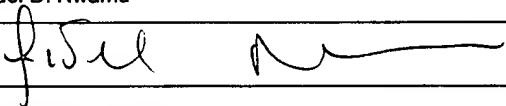
<b>COPY OF PAPERS ORIGINALLY FILED</b>		Application Number	09/898,319
		Filing Date	July 2, 2001
		First Named Inventor	Smith, G. Scott
		Group Art Unit	2131
		Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number	020699-000310US

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Copy of Notice of Missing Parts; Petition (filing when joint inventor refuses to sign); declaration of Fidel Nwamu; copy of employment agreement; copy of letter sent to Jose Diaz; copy of envelope; Return Postcard; copy of Dec. of Scott Smith
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

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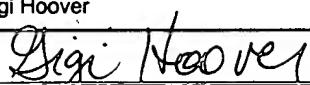
**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm and Individual name	Townsend and Townsend and Crew LLP Fidel D. Nwamu	
Signature		
Date	December 21, 2001	

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

December 21, 2001

Typed or printed name	Gigi Hoover		
Signature		Date	December 21, 2001

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SF 1303472 v1

TOWNSEND  
and  
TOWNSEND  
and  
CREW  
LLP



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fdnwamu@townsend.com

July 5, 2001

OPY OF PAPERS  
ORIGINALLY FILED

VIA CERTIFIED MAIL

Jose Diaz  
5328 Beachgrove Court  
San Jose, CA 95123

Re: New US Patent Application  
For: Storage and Retrieval of Encrypted Content on Storage Media  
Inventors: G. Scott Smith, et al.  
Filed: July 2, 2001  
Client Reference No.: 50P3896  
Our File No.: 020699-000310US

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Dear Mr. Diaz:

Enclosed is a copy of the above application as filed recently with the Patent Office together with a copy of my July 5, 2001 letter to Mr. Fujii.

Please let us know by August 5, 2001 if you will be signing the declaration and assignment when we file the Response to Notice to File Missing Parts. If we do not hear from you by that date we will file a Rule 1.47 Petition instead.

If you have any questions, please call me.

Very truly yours,

Fidel D. Nwamu

FDN/amb  
Enclosures  
cc: Harold T. Fujii, Esq.  
Charles Kulas, Esq.  
SF 1243527 v1

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Jose Diaz  
Street, Apt. No. or PO Box No.  
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City, State, ZIP+4  
San Jose, CA 95123

PS Form 3800, February 2000  
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